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Attorney Docket No.  
**D/A1505**

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1/15/2004  
Date

*Cathy Whitney*  
Cathy Whitney

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of Thomas W. Smith et al.

Group Art Unit: 1626

Application No.: 10/001,572

Examiner: K. Saeed

Filed: 11/15/2001

For: PHOTOPROTECTIVE AND LIGHTFASTNESS-ENHANCING SILOXANES

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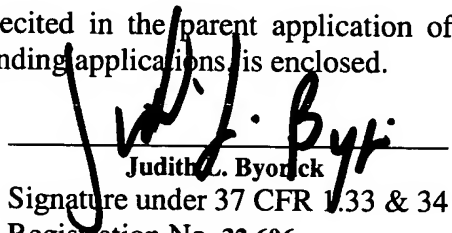
Sir:

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form, except for U.S. Patents or published U.S. applications. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), **OR** (b) before the mailing date of a first Office Action on the merits. *No certification or fee is required.*
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**

- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p) (*A copy of this paper is attached*); **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).
- ☐ 8. A copy of each copending application recited in the parent application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

  
Judith L. Byorick  
Signature under 37 CFR 1.33 & 34  
Registration No. 32,606  
Telephone No. 585.423.4564  
Date 01/15/2004

Form PTO-1449		US Dept. of Commerce PATENT & TRADEMARK OFFICE		ATTY DOCKET NO. D/A1500Q1		APPLICATION NO. 1	
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANT Thomas W. Smith et al.		FILING DATE	
JAN 20 2004				GROUP ART UNIT		10/01/01	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB- CLASS		
C2	6,270,214 B1	8/7/2001	Smith et al.	347	101		
	6,142,618	11/7/2000	Smith et al.	347	85		
	6,124,376	9/26/2000	Nichols et al.	523	160		
	6,200,369 B1	3/13/2001	Schwarz	106	31.43		
	6,106,599	8/22/2000	Breton et al.	106	31.29		
	5,719,204	2/17/1998	Beach et al.	523	161		
	5,686,633	11/11/1997	Vieira et al.	549	434		
	5,643,356	7/1/1997	Nohr et al.	106	31.49		
	5,610,257	3/11/1997	Richard et al.	528	15		
	5,089,250	2/18/1992	Forestier et al.	424	43		
✓	4,256,493	3/17/1981	Yokoyama et al.	106	22		

## FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N
C2		WO 97/20000	6/1997	KIMBERLY-CLARK CORP.	Abstract
	EPC	EP0867486	9/1998	LEXMARK INT, INC.	Abstract
	JPN	JP 10-278435	10/1998	OJI PAPER CO. LTD.	Abstract
	JPN	JP 11-099740	4/1999	OJI PAPER CO., LTD.	Abstract
	JPN	JP-2000-141875	5/2000	OJI PAPER CO., LTD	Abstract
	JPN	JP-10007958	1998	SHOWA DENKO KK	Abstract
✓	JPN	JP-10007969	1998	SHOWA DENKO KK	Abstract

## OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

<del>Co-pending Application U.S. Serial No. (not yet assigned, Attorney Docket No. D/A1505Q), filed concurrently herewith, entitled "Recording Sheets with Lightfastness-Enhancing Siloxanes," by Thomas W. Smith et al.</del>	
<del>Co-pending Application U.S. Serial No. (not yet assigned, Attorney Docket No. D/A1505), filed concurrently herewith, entitled "Photoprotective and Lightfastness-Enhancing Siloxanes," by Thomas W. Smith et al.</del>	
EXAMINER <i>Carrie Smith</i>	DATE CONSIDERED 10/1/03
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Form PTO-1449  INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		U.S. Dept. of Commerce PATENT & TRADEMARK OFFICE <div style="border: 1px solid black; border-radius: 50%; padding: 5px; display: inline-block; text-align: center;">             JAN 20 2004           </div>		ATTY DOCKET NO. D/A1505		APPLICATION NO. 10/001,572	
				APPLICANT Thomas W. Smith et al.			
				FILING DATE 11/15/2001		GROUP ART UNIT 1626	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB CLASS		
	6,231,655 B1	5/15/2001	Marritt	106	31.58		
	6,245,138 B1	6/12/2001	Nyssen et al.	106	31.86		
	5,837,792	11/17/1998	Meuwly et al.	528	27		
	6,087,416	7/11/2000	Pearlstine et al.	523	160		
	4,859,759	8/22/1989	Maycock et al.	528	27		
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	5,466,768	11/14/1995	Yang	528	15		
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	5,102,707	4/7/1992	Canivenc et al.	428	44		
	6,569,511 B1	5/27/2003	Smith et al.	428	195		

## FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N
	EPC	EP 1 221 381 A2	7/10/02	CANON	

## OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

EXAMINER <span style="float: right;">DATE CONSIDERED</span>	
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	